

 KENTUCKY CORRECTIONS Policies and Procedures	Policy Number	Total Pages
	27-02-01	5
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Authority/References KRS 196.030, 196.035, 439.310, 439.3101, 439.600, 439.630 P & P ACA 1A-01, 1A-02, 2A-01, 2A-07, 2F-01, 3A-01, 3A-10, 3A-11, 3A-12, 3A-25, 3A-26, 3A-27, 3A-28, 3A-29, 3D-01, 3D-02, 3D-03, 3D-04, 3D-05, 3D-07, 3D-08, 3D-09, 3D-10, 3D-12, 3D-14, 3D-15, 3D-31, 3D-32, 3D-33, 3D-37, 3E-01	Subject DUTIES OF DIRECTOR AND CHAIN OF COMMAND	

I. DEFINITIONS

“Administrator of Field Services” means the Director, Assistant Director, or other person charged with the administration and oversight of the Division of Probation and Parole.

“Auxiliary personnel” means a person used in any role not outlined by subsections A through E of this policy and assigned to work in a particular district.

“Workload formula” means an objective system for quantifying the amount of work done by Probation and Parole officers

II. POLICY AND PROCEDURE

- A. Probation & Parole, as a Division of Department of Corrections, is authorized as in KRS 439.470 and KRS 439.480. (3D-01)
- B. The Director of Probation and Parole, as appointed by the Commissioner of the Department of Corrections, shall be charged with the administration of field services and oversight of the Division of Probation and Parole as outlined in KRS 439.310. (3D-02; 3D-14)

The Director of Probation and Parole must possess at a minimum:

1. A Bachelor’s Degree
 2. At least five years of administrative experience (3D-15)
- C. The Director of Probation and Parole shall:
1. Develop and guide implementation of the mission of the Division of Probation and Parole.

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2. Develop an annual strategic plan for the Division of Probation and Parole in accordance with the Department of Corrections' biennial strategic plan. This annual strategic plan shall include at a minimum:
 - a. A mission statement for the Division of Probation and Parole. (3D-04)
 - b. Long range goals for the Division of Probation and Parole. (3D-04)
 - c. Measurable objectives that can be accomplished by field staff in pursuit of long range goals. (3D-05)
 - d. Priorities related to goals, objectives and policies of the Division of Probation and Parole. (3D-05)
3. Establish or direct the establishment of policies and procedures needed to maintain operational standards and achieve long range goals: (3D-05)
 - a. Assess and document achievement of goals and objects. (3D-08)
 - b. Internally monitor operations and programs through annual inspections and reviews. (3D-09)
 - c. Annually review performance and implement program changes in response to findings as necessary. (3D-08)
4. Establish a workload formula for the allocation of work and resources according to need, which shall consider legal requirements, geographic areas and administrative tasks required of the officers. (3A-25)
 - a. Caseload size guidelines shall consider offender risk and needs, agency staffing, and prioritization of supervision services and program resources.
 - b. The workload formula shall be reviewed annually by the Director or designated staff.
5. Ensure the agency has a structured communication process that facilitates the timely exchange of information with all level of employees. All levels of staff participate in the development and review of the organizational mission, goals, policies, procedures, rules and regulations. (3A-29; 3D-07)

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6. Assess annually personnel needs and plan for recruitment, training, and staff development, in conjunction with the Department of Corrections Division of Training and Personnel Branch. (3A-10)
7. Annually review and implement the comprehensive agency training plan that provides instruction for the knowledge, skills, and abilities required for Probation & Parole staff duties. (3A-12)
8. Oversee research and collection of data as a part of an overall management, planning, and research capacity by: (3D-31)
 - a. Designating specific personnel to routinely collect data, record, organize, process, report, and conduct research on that data. (3D-32)
 - b. Receiving quarterly reports from the individuals in charge of the information systems and research programs. (3D-33)
 - c. Approving research projects prior to implementation. (3D-37)
 - d. Reviewing annually a statistically valid job task analysis to determine the knowledge, skills, and abilities needed to perform agency tasks. (3A-11)
9. Work with community partnerships in the practice of community justice to prevent victimization, provide conflict resolution, and promote public safety. (1A-01)
10. Collaborate with community partnerships in problem solving efforts to promote public safety through information sharing and education. (1A-02)
11. Submit a report to the parent agency, at least biennially that includes objectives, programs, budget, major developments, problems, and plans, as well as services furnished to the courts, parole authority, and offender. (3D-10)
12. Secure space, equipment, and resources necessary for staff to perform agency tasks which provides a safe, healthful, and comfortable work environment. (3D-12; 3E-01)
13. Direct the collection, safeguarding, and disbursement of all funds for drug testing.
14. Perform other duties at the direction of the Commissioner or Deputy Commissioner of the Department of Corrections.

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- D. A Branch Manager shall be charged with the administration and oversight of a group of programs or operational units. The Branch Manager shall report directly to the Director and shall assume specific tasks as assigned by the Director that are relevant to the manager's area of oversight. (3D-03)
- E. A District Supervisor shall be charged with the administration and oversight of a Probation and Parole district. The District Supervisor shall report to a Branch Manager or to the Director if a Branch Manager is not assigned. The District Supervisor shall assume tasks as assigned by a Branch Manager or the Director that are relevant to the overall operations of the Probation and Parole district.
1. Each District Supervisor and Assistant Supervisor shall meet the qualifications established by the Department of Personnel and shall be trained in the supervisory function. The District Supervisor or designee shall assign and supervise the work of officers and support staff in his assigned area. (3A-26)
 2. Each officer shall submit a monthly report to the District Supervisor or designee. The District Supervisor or designee shall compile one report for the district that reflects the workload of each officer and it shall be submitted to Central Office by the fourth working day of the month. The District Supervisor or designee shall review the monthly report submitted by each officer for compliance with Corrections Policy and Procedure and conduct an audit on the list of absconders named to ensure that a warrant has been requested or issued.
 3. The District Supervisor or designee shall at least annually review each officer's compliance with agency regulations, for example, contact requirements, report writing and deadlines. This shall be accomplished by review of the narratives notes in the offender management system, by continuous review of Presentence Investigations and other documents, and a field audit. Compliance with Corrections Policy and Procedure shall also be considered. A minimum of ten cases shall be reviewed annually. (3A-27)
 4. The District Supervisor or designee shall conduct district meetings monthly. The meetings shall include a meeting agenda and minutes. Copies of each shall be retained by the Assistant Supervisor or designee and a copy shall be forwarded to the Director's Office. This meeting shall encourage two-way communication between all levels of staff, the Assistant Supervisor, and the District Supervisor.

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5. The District Supervisor shall allocate work to the clerical staff. The clerical workload shall be reviewed annually by the District Supervisor or designee and a report submitted to the Director or designee.

- F. An Assistant District Supervisor shall assist the District Supervisor in the administration and oversight of a Probation and Parole district. The Assistant Supervisor shall report directly to the District Supervisor and shall assume tasks as assigned by the District Supervisor. These tasks shall include:
 1. Training and staff development
 2. Assists supervisors with case audits

- G. A probation and parole officer shall report to the District Supervisor or Assistant District Supervisor assigned to his district.
 1. The duties of the Probation and Parole officer and investigator have been developed within the agency mission:
 - a. Providing necessary services to the offender with the goal of protecting the community and reducing the probability of continued criminal behavior on the part of the offender. (2A-01)
 - b. Encouraging services and opportunities for offenders to take responsibility for their actions. (2F-01)
 - c. Supporting supervision strategies and programs demonstrated by evidence based practices to enhance compliance and reduce criminal behavior. (2A-07)
 2. A Probation and Parole Officer and investigator must possess, at minimum, a Bachelor's Degree. (3A-01)

- H. Auxiliary personnel shall report to the District Supervisor assigned to the district where the auxiliary personnel are located. (3A-28)

- I. If an employee's immediate supervisor is not available due to a position vacancy, temporary absence, or other emergency circumstances, the employee shall report to the next level of supervisory or administrative staff.